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FORMS PTO-1390
(REV 10-96)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

SI01-012

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/031916

INTERNATIONAL APPLICATION NO.

PCT/DE00/02395

INTERNATIONAL FILING DATE

July 21, 2000

PRIORITY DATE CLAIMED

July 21, 1999

TITLE OF INVENTION

OPTICAL COUPLING DEVICE

APPLICANT(S) FOR DO/EO/US

Corning Incorporated

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C.371.
3. ☐ This express request to being national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. To 16. Below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An Assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
 - Original Translation of PCT Application
 - Version of Application With Markings to Show Changes Made
 - CLEAN Version of Amended Application, to be used for examination purposes

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/031916

INTERNATIONAL APPLICATION NO.

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INVENTOR'S DOCKET NUMBER

SI01-012

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a)(1)-(5):**Neither international preliminary examination fee (37 DFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO

and International Search Report not prepared by the EPO or JPO.....\$1040.00

International preliminary examination fee (37 CFR 1.482) not paid to

USPTO but International Search Report prepared by the EPO or JPO.....\$890.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but

international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$740.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

but all claims did not satisfy provisions of PCT Article 33 (1)-(4)\$710.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00

CALCULATIONS

PTO USE ONLY

ENTER APPROPRIATE BASIC FEE AMOUNT = \$890.00Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from
the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	16- 20 =	0	X \$18.00	\$0.00
Independent claims	1 - 3 =	0	X \$84.00	\$0.00
MULTIPLE DEPENDANT CLAIM(S) (if applicable)			+ \$270.00	\$

TOTAL OF ABOVE CALCULATIONS = \$890.00Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity
Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28)

\$

SUBTOTAL = \$890.00Processing fee of \$130.00 for furnishing the English translation later than ☐
20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).
+

\$

TOTAL NATIONAL FEE = \$890.00Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment
must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31).
\$40.00 per property +

\$

TOTAL FEES ENCLOSED = \$0.00I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office
to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to the Commissioner of Patents
and Trademarks, Washington, DC 20231

on 1/19/02

By: Bethany BeligoffiSignature: Bethany Beligoffi

"EXPRESS MAIL" Mailing Label No. EV041470304US

Amount to be**refunded:**

\$

Charged:

\$890.00

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.b. ☒ Corning Incorporated hereby authorizes use of **Deposit Account No. 03-3325** in the amount of
\$ 890.00 to cover the above fees. A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. **03-3325**. A duplicate copy of this sheet is enclosed.**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

Send all correspondence to:

Walter M. DouglasCorning IncorporatedSP-TI-03Corning, NY 14831Walter M. Douglas
SignatureRegistration No.: 34,510
(607) 974-2431